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PATENT APPLICATION SERIAL NO. \_\_\_\_\_

U.S. DEPARTMENT OF COMMERCE  
PATENT AND TRADEMARK OFFICE  
FEE RECORD SHEET

07/09/2003 BSAYASI1 00000005 181982 10613482

01 FC:1001 750.00 DA  
~~02 FC:1203 280.00 DA~~

Adjustment date: 10/27/2003 BSAYASI1  
07/09/2003 BSAYASI1 00000005 181982 10613482  
02 FC:1203 280.00 CR

PTO-1556  
(5/87)

# PATENT APPLICATION FEE DETERMINATION RECORD

Effective January 1, 2003

Application or Docket Number

10613482

## CLAIMS AS FILED - PART I

|   | (Column 1)      | (Column 2)   |
|---|-----------------|--------------|
| TOTAL CLAIMS  | 12              |              |
| FOR   | NUMBER FILED    | NUMBER EXTRA |
| TOTAL CHARGEABLE CLAIMS                                   | 12 minus 20 = * | 1            |
| INDEPENDENT CLAIMS  | 3 minus 3 = *   | 1            |
| MULTIPLE DEPENDENT CLAIM PRESENT <input type="checkbox"/> |                 |              |

SMALL ENTITY TYPE ☐

OR OTHER THAN SMALL ENTITY

| RATE      | FEE    |
|-----------|--------|
| BASIC FEE | 375.00 |
| X\$ 9=    |        |
| X42=      |        |
| +140=     |        |
| TOTAL     |        |

| RATE      | FEE    |
|-----------|--------|
| BASIC FEE | 750.00 |
| X\$18=    | 1      |
| X84=      | 1      |
| +280=     |        |
| TOTAL     | 750    |

\* If the difference in column 1 is less than zero, enter "0" in column 2

## CLAIMS AS AMENDED - PART II

|   | (Column 1)                       | (Column 2)                         | (Column 3)    |
|---|----------------------------------|------------------------------------|---------------|
| AMENDMENT A   | CLAIMS REMAINING AFTER AMENDMENT | HIGHEST NUMBER PREVIOUSLY PAID FOR | PRESENT EXTRA |
| Total   | *                                | Minus                              | **            |
| Independent   | *                                | Minus                              | ***           |
| FIRST PRESENTATION OF MULTIPLE DEPENDENT CLAIM <input type="checkbox"/> |                                  |                                    |               |

SMALL ENTITY OR

OTHER THAN SMALL ENTITY

| RATE             | ADDITIONAL FEE |
|------------------|----------------|
| X\$ 9=           |                |
| X42=             |                |
| +140=            |                |
| TOTAL ADDIT. FEE |                |

| RATE             | ADDITIONAL FEE |
|------------------|----------------|
| X\$18=           |                |
| X84=             |                |
| +280=            |                |
| TOTAL ADDIT. FEE |                |

|   | (Column 1)                       | (Column 2)                         | (Column 3)    |
|---|----------------------------------|------------------------------------|---------------|
| AMENDMENT B   | CLAIMS REMAINING AFTER AMENDMENT | HIGHEST NUMBER PREVIOUSLY PAID FOR | PRESENT EXTRA |
| Total   | *                                | Minus                              | **            |
| Independent   | *                                | Minus                              | ***           |
| FIRST PRESENTATION OF MULTIPLE DEPENDENT CLAIM <input type="checkbox"/> |                                  |                                    |               |

| RATE             | ADDITIONAL FEE |
|------------------|----------------|
| X\$ 9=           |                |
| X42=             |                |
| +140=            |                |
| TOTAL ADDIT. FEE |                |

| RATE             | ADDITIONAL FEE |
|------------------|----------------|
| X\$18=           |                |
| X84=             |                |
| +280=            |                |
| TOTAL ADDIT. FEE |                |

|   | (Column 1)                       | (Column 2)                         | (Column 3)    |
|---|----------------------------------|------------------------------------|---------------|
| AMENDMENT C   | CLAIMS REMAINING AFTER AMENDMENT | HIGHEST NUMBER PREVIOUSLY PAID FOR | PRESENT EXTRA |
| Total   | *                                | Minus                              | **            |
| Independent   | *                                | Minus                              | ***           |
| FIRST PRESENTATION OF MULTIPLE DEPENDENT CLAIM <input type="checkbox"/> |                                  |                                    |               |

| RATE             | ADDITIONAL FEE |
|------------------|----------------|
| X\$ 9=           |                |
| X42=             |                |
| +140=            |                |
| TOTAL ADDIT. FEE |                |

| RATE             | ADDITIONAL FEE |
|------------------|----------------|
| X\$18=           |                |
| X84=             |                |
| +280=            |                |
| TOTAL ADDIT. FEE |                |

\* If the entry in column 1 is less than the entry in column 2, write "0" in column 3.

\*\* If the "Highest Number Previously Paid For" IN THIS SPACE is less than 20, enter "20."

\*\*\* If the "Highest Number Previously Paid For" IN THIS SPACE is less than 3, enter "3."

The "Highest Number Previously Paid For" (Total or Independent) is the highest number found in the appropriate box in column 1.

106-10

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

# FEE TRANSMITTAL for FY 2003

Patent fees are subject to annual revision.

☐ Applicant claims small entity status. See 37 CFR 1.27

**TOTAL AMOUNT OF PAYMENT (\$ 750.00)**

## Complete if Known

|                      |                          |
|----------------------|--------------------------|
| Application Number   | Not Yet Assigned         |
| Filing Date          | Currently Filed Herewith |
| First Named Inventor | Stefanie Fl hr, et al    |
| Examiner Name        |                          |
| Group / Art Unit     |                          |
| Attorney Docket No.  | DEAV2002/0045 US NP      |

### METHOD OF PAYMENT (check all that apply)

☐ Check ☐ Credit Card ☐ Money Order ☐ Other ☐ None

☒ Deposit Account

Deposit Account Number: 18-1982  
Deposit Account Name: Aventis Pharmaceuticals Inc.

The Commissioner is authorized to: (check all that apply)

☒ Charge fee(s) indicated below ☒ Credit any overpayments  
☒ Charge any additional fee(s) during the pendency of this application  
☐ Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account

### FEE CALCULATION

#### 1. BASIC FILING FEE

| Large Entity | Small Entity | Fee Code | Fee (\$) | Fee Description        | Fee Paid |
|--------------|--------------|----------|----------|------------------------|----------|
| 1001         | 2001         | 750      | 375      | Utility filing fee     | 750      |
| 1002         | 2002         | 330      | 165      | Design filing fee      |          |
| 1003         | 2003         | 520      | 260      | Plant filing fee       |          |
| 1004         | 2004         | 750      | 375      | Reissue filing fee     |          |
| 1005         | 2005         | 160      | 80       | Provisional filing fee |          |

**SUBTOTAL (1) (\$ 750.00)**

#### 2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE

| Total Claims       | Extra Claims | Fee from below | Fee Paid |
|--------------------|--------------|----------------|----------|
| 12                 | -20**= 0     | x 0 = 0        |          |
| Independent Claims | 3            | - 3**= 0       | x 0 = 0  |
| Multiple Dependent |              | 0              | = 0      |

| Large Entity | Small Entity | Fee Code | Fee (\$) | Fee Description   | Fee Paid |
|--------------|--------------|----------|----------|---|----------|
| 1202         | 2202         | 18       | 9        | Claims in excess of 20                                    |          |
| 1201         | 2201         | 84       | 42       | Independent claims in excess of 3                         |          |
| 1203         | 2203         | 280      | 140      | Multiple dependent claim, if not paid                     |          |
| 1204         | 2204         | 84       | 42       | **Reissue independent claims over original patent         |          |
| 1205         | 2205         | 18       | 9        | **Reissue claims in excess of 20 and over original patent |          |

**SUBTOTAL (2) (\$ 0.00)**

\*\*or number previously paid, if greater; For Reissues, see above

### FEE CALCULATION (continued)

#### 3. ADDITIONAL FEES

| Large Entity | Small Entity | Fee Code | Fee (\$) | Fee Description  | Fee Paid |
|--------------|--------------|----------|----------|--|----------|
| 1051         | 2051         | 130      | 65       | Surcharge - late filing fee or oath  |          |
| 1052         | 2052         | 50       | 25       | Surcharge - late provisional filing fee or cover sheet                     |          |
| 1053         | 2053         | 130      | 130      | Non-English Specification  |          |
| 1812         | 2520         | 2,520    | 2,520    | For filing a request for reexamination                                     |          |
| 1804         | 2804         | 920*     | 920*     | Requesting publication of SIR prior to Examiner action                     |          |
| 1805         | 2805         | 1,840*   | 1,840*   | Requesting publication of SIR after Examiner action                        |          |
| 1251         | 2251         | 110      | 55       | Extension for reply within first month                                     |          |
| 1252         | 2252         | 410      | 205      | Extension for reply within second month                                    |          |
| 1253         | 2253         | 930      | 465      | Extension for reply within third month                                     |          |
| 1254         | 2254         | 1,450    | 725      | Extension for reply within fourth month                                    |          |
| 1255         | 2255         | 1,970    | 985      | Extension for reply within fifth month                                     |          |
| 1401         | 2401         | 320      | 160      | Notice of Appeal   |          |
| 1402         | 2402         | 320      | 160      | Filing a brief in support of an appeal                                     |          |
| 1403         | 2403         | 280      | 140      | Request for oral hearing   |          |
| 1451         | 2451         | 1,510    | 1,510    | Petition to institute a public use proceeding                              |          |
| 1452         | 2452         | 110      | 55       | Petition to revive - unavoidable   |          |
| 1453         | 2453         | 1,300    | 650      | Petition to revive - unintentional   |          |
| 1501         | 2501         | 1,300    | 650      | Utility issue fee (or reissue)   |          |
| 1502         | 2502         | 470      | 235      | Design issue fee   |          |
| 1503         | 2503         | 630      | 315      | Plant issue fee  |          |
| 1460         | 2460         | 130      | 130      | Petitions to the Commissioner  |          |
| 1807         | 2807         | 50       | 50       | Petitions related to provisional applications                              |          |
| 1806         | 2806         | 180      | 180      | Submission of Information Disclosure Stmt                                  |          |
| 8021         | 28021        | 40       | 40       | Recording each patent assignment per property (times number of properties) |          |
| 1809         | 2809         | 750      | 375      | Filing a submission after final rejection (37 CFR § 1.129(a))              |          |
| 1810         | 2810         | 750      | 375      | For each additional invention to be examined (37 CFR § 1.129(b))           |          |
| 1801         | 2801         | 750      | 375      | Request for Continued Examination (RCE)                                    |          |
| 1802         | 2802         | 900      | 900      | Request for expedited examination of a design application                  |          |

Other fee (specify)

\*Reduced by Basic Filing Fee Paid

**SUBTOTAL (3) (\$)**

### SUBMITTED BY

|                   |                                |                                   |        |           |                |
|-------------------|--------------------------------|-----------------------------------|--------|-----------|----------------|
| Name (Print/Type) | Balaram Gupta, Reg. No. 40,009 | Registration No. (Attorney/Agent) | 40,009 | Telephone | (908) 231-3364 |
| Signature         |                                |                                   |        | Date      | 7/03/03        |

WARNING: Information in this form may become public. Credit card information should not be included in this form. Provide credit card information and authorization in PTO-2038.

This collection of information is required by 37 CFR 1.17 and 1.27. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Alexandria, VA 22313. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P. O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.  
Aventis Pharmaceuticals Inc. template

# PATENT

## UTILITY PATENT APPLICATION TRANSMITTAL

(only for new non-provisional applications under 37 CFR §1.53(b))

Mail Stop Patent Application  
Commissioner of Patents  
P. O. Box 1450  
Alexandria, VA 22313-1450

Sir:

Transmitted herewith for filing is the patent application  
under 37 CFR 1.53(b) of:

AVENTIS DOCKET NO.: DEAV2002/0045 US NP  
INVENTORS: Stefanie Flohr, et al  
TITLE: **Pyrazoloisoquinoline Derivatives for  
Inhibiting NfκappaB-inducing Kinase**

I hereby certify that this correspondence is being  
deposited with the United States Postal Service as  
Express Mail in an envelope addressed to Mail Stop  
Patent Application, Commissioner of Patents, P.O.  
Box 1450, Alexandria, VA 22313-1450, on

July 3, 2003

Date of Deposit

Signature

EL 816576852 Us

Express Mail No.

01409 U.S. PTO

10/613482



07/03/03

### APPLICATION ELEMENTS

1. ☒ \*Fee Transmittal Form (e.g., PTO/SB/17)  
(Submit an original and a duplicate for fee processing)

2. ☒ Specification  
(preferred arrangement set forth below)
- Descriptive title of the invention
  - Cross References to Related Applications
  - Statement Regarding Fed sponsored R & D
  - Reference to Microfiche Appendix
  - Background of the invention
  - Brief Summary of the invention
  - Brief Description of the Drawings (if filed)
  - Detailed Description
  - Claim(s)
  - Abstract of the Disclosure

Total Pages

49

3. ☐ Drawing(s) (35 U.S.C. 113)

Total Sheets

4. Oath or Declaration

Total Pages

2

- a. ☒ Newly unexecuted (original or copy)

- b. ☐ Copy from a prior application (37 CFR § 1.63(d))

- i. ☐ **DELETION OF INVENTOR(S)**

Signed statement attached deleting inventor(s) named in the prior  
application, see 37 CFR §§ 1.63(d)(2) and 1.33(b).

5. Power of Attorney

Total Pages

- a. ☐ Newly executed (original or copy)

- b. ☐ Copy from a prior application (37 CFR § 1.63(d))

6. ☐ Microfiche Computer Program (Appendix)

7. Nucleotide and/or Amino Acid Sequence Submission  
(if applicable, all necessary)

- a. ☐ Computer Readable Copy  
b. ☐ Paper Copy (identical to computer copy)  
c. ☐ Statement verifying identity of above copies

☐ If a **CONTINUING** Application, check appropriate box, and supply the requisite information:

- ☐ Continuation ☐ Divisional ☐ Continuation-in-part

of prior application no: \_\_\_\_\_, filed \_\_\_\_\_.

Examiner \_\_\_\_\_, Group/Art Unit \_\_\_\_\_.

(The cross reference has been/will be inserted on page one of the specification).

- ☒ This application claims the benefit of U.S. Provisional Application No. 60/423,954,  
filed November 5, 2002 and German Application No. 10229762.2 filed July 3, 2002.

(The cross reference has been/will be inserted on page one of the specification).

- ☐ **Incorporation By Reference** (useable if filing a continuation/divisional and a copy of the declaration from the prior application is enclosed.)

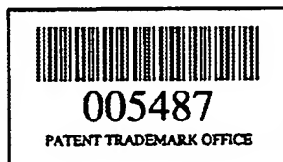
The entire disclosure of the prior application, from which a copy of the oath or declaration is supplied, is considered as being part of the disclosure of the accompanying application and is hereby incorporated by reference therein.

**ACCOMPANYING APPLICATION PARTS**

7. ☐ Assignment Papers (cover sheet & document(s))  
8. ☐ 37 CFR §3.73(b) Statement  
(when there is an assignee)  
9. ☒ Verified English Translation Document (if applicable)  
10. ☐ Information Disclosure Statement (IDS)/PTO-1449 ☐ Copies of IDS Citations  
11. ☐ Preliminary Amendment  
12. ☒ Return Receipt Postcard (MPEP 503)  
(Should be specifically itemized)  
13. ☐ \*Small Entity Statement(s) ☐ Statement filed in prior application,  
(PTO/SB/09-12) Status still proper and desired  
14. ☒ Certified Copy of Priority Document(s) (DE 10229762.2)  
(if foreign priority is claimed)  
15. ☒ Other: Application Data Sheet

**CORRESPONDENCE ADDRESS**

- ☒ Customer Number or Bar Code Label



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